

# MISSISSIPPI LOCAL INVESTMENT JUSTIFICATION GUIDANCE

<u>INVESTMENT JUSTIFICATION GUIDANCE</u> .....	1
<u>Writing the Justification</u> .....	2
<u>EXECUTIVE SUMMARY</u> .....	3
<u>OVERVIEW</u> .....	4
<u>COMPLIANCE</u> .....	6
<u>PRIORITIES</u> .....	7
<u>A. Accomplishments</u> .....	8
<u>B. Current Capabilities</u> .....	9
<u>C. Three-Year Targets</u> .....	14
<u>D. Initiatives</u> .....	16
<u>E. Resources</u> .....	17
<u>SUMMARY</u> .....	13

## **PART TWO: INVESTMENT JUSTIFICATION GUIDANCE**

## WRITING THE JUSTIFICATION

Each Investment Justification must, at a minimum, contain four sections: Executive Summary, State Overview, Compliance, and Priorities.

- **Executive Summary:** Provides an overview of the main sections of the Investment Justification
- **State Overview:** Provides background on the Jurisdiction(s) and a summary of the process the Jurisdiction(s) used to collect feedback from stakeholders when creating the Investment Justification
- **Compliance:** Assesses compliance with the national preparedness system, NIMS, NRF, and other related plans and strategies
- **Priorities:** Reports on accomplishments, discusses current capabilities, provides three-year targets for capabilities, identifies Initiatives, and discusses monetary and non-monetary resources dedicated to each Priority

Items Jurisdictions can consider when writing their Investment Justification are noted in “Things to Consider” call-out boxes throughout the guidance. Jurisdictions do not have to address all items in these call-out boxes and have the flexibility to provide information in addition to the questions asked.

Jurisdictions will need to reference the appendices of this guidance document when developing their Investment Justification. A brief description of each appendix is provided in the list below:

- **Appendix A:** Provides definitions for terms used throughout the guidance
- **Appendix B:** Provides a list of acronyms
- **Appendix C:** Provides a list of relevant grant programs that Jurisdictions can reference when completing the resources section for each Priority
- **Appendix D:** Provides a list of data sources, organized by document section, which may be useful when developing the Investment Justification
- **Appendix E:** Provides a list of items the Jurisdiction can consider when completing the Current Capabilities sub-section in the Priorities section of the Investment Justification (Note: The items in this appendix are optional for National Priorities 1-7, but are required for National Priority 8)
- **Appendix F:** Provides a list of capabilities from the Target Capabilities List (TCL)

- **Appendix G:** Provides instructions on uploading the Investment Justification

The remainder of this document provides an overview of what is required and what Jurisdictions should consider when drafting each section of the Investment Justification.

## **EXECUTIVE SUMMARY**

The Executive Summary provides a brief overview of the Investment Justification. Within the Executive Summary, Jurisdictions should summarize information for stakeholders who may not need to review the Investment Justification in detail. Jurisdictions have the flexibility to determine the content, length, and format of the Executive Summary. The estimated page length is one to two pages.

## JURISDICTION OVERVIEW

The Jurisdiction Overview provides background on the Jurisdiction and a summary of the process the Jurisdiction used to collect feedback from stakeholders when creating the Investment Justification. Jurisdictions have the flexibility to determine the content, length, and format of the Jurisdiction Overview within the following two sub-sections: **Jurisdiction Background** and **Stakeholder Input**.

- Within the Jurisdiction Background section, Jurisdictions should provide an overview of the Jurisdiction including topics with a direct impact on an overall homeland security approach, strategy, and/or areas of preparedness
- Within this section, Jurisdictions must provide a brief overview of the risks, hazards, and planning factors that cause them the most concern. This overview should be limited to one to three paragraphs
- Within the Stakeholder Input section, Jurisdictions should describe the process used for capturing stakeholder input into the Investment Justification

It is estimated that the Jurisdiction Overview section will be between three and four pages long.

### Jurisdiction Background – Things to Consider

- What is the population of the Jurisdiction?
- What are the major Urban Areas?
- Which cities are designated under the Urban Area Security Initiative (FY 2007)?
- What transportation systems does the State have?
- How has the State homeland security program partnered with major industries within the Jurisdiction?
- Does the Jurisdiction have any key ports or international borders?
- What hazards does the Jurisdiction face?
- What office(s) within the Jurisdiction has primary responsibility for homeland security?
- How are roles and responsibilities shared among State representatives, local representatives, the private sector, private non-profit organizations, and non-governmental organizations?

### **Stakeholder Input – Things to Consider**

- Which agencies/industries did the stakeholders represent?
- What portion of stakeholders were from the State, regions, and local and regional jurisdictions?
- What sort of development session(s) did the Jurisdiction hold when developing the report (e.g., working group, planning session)?

## COMPLIANCE

PKEMRA mandates an assessment of State compliance with the national preparedness system, the National Incident Management System (NIMS), the National Response Framework (NRF), and other related plans and strategies. Given that many of these documents are under development or being updated, in year one, only ***NIMS compliance will be included in this section.***

The Incident Management Systems Division (IMSD) (formerly the National Integration Center [NIC]), a part of FEMA, manages the NIMS Compliance Assistance Support Tool (NIMSCAST). IMSD will generate a summary of each State's responses to the Fiscal Year (FY) 2007 NIMS Compliance Metrics in NIMSCAST. States can obtain the correct point of contact (POC) within the IMSD on the FEMA Secure Portal. Each State's IMSD POC is able to share the NIMSCAST directly with each State.

States can copy and paste the NIMSCAST report directly into the Investment Justification to satisfy requirements for this section of the document. After importing the NIMSCAST summary, States may provide further narrative to provide context for the data. In this narrative, States may validate or explain modifications required to update the NIMSCAST summary. States may also supplement the information provided in the NIMSCAST report in subsequent sections of the Investment Justification, specifically when addressing National Priority 1– Implement the NIMS and the NRF. It is estimated that the Compliance section will be between one and two pages long.



# PRIORITIES

The Priorities section constitutes the majority of the Investment Justification. In this section, States will report on the following topics for each Priority: Accomplishments, Current Capabilities, Three-Year Targets, Initiatives, and Resources.

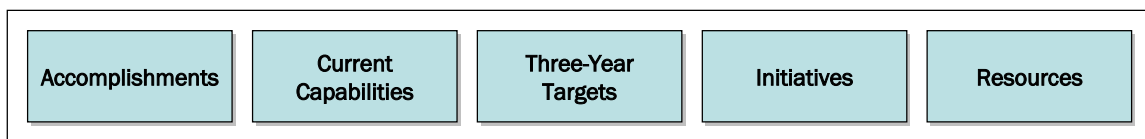
States are required to report on each of the eight National Priorities. States also may report on their own unique State Priorities, using the same five topic areas.

## National Priorities

- Implement the National Incident Management System (NIMS) and the National Response Framework (NRF)
- Expand Regional Collaboration
- Implement the National Infrastructure Protection Plan (NIPP)
- Strengthen Information Sharing and Collaboration
- Strengthen Interoperable and Operable Communications Capabilities
- Strengthen Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Detection, Response, and Decontamination
- Strengthen Medical Surge and Mass Prophylaxis
- Strengthen Planning and Citizen Preparedness Capabilities
- Other capabilities which support the goals identified in the State's Homeland Security Strategy, as appropriate

In completing the Investment Justification, each National and State Priority will be addressed through the following five sections:

**Figure 1: Priority Report Sections**



All sections, with the exception of Accomplishments, are required. However, States are strongly encouraged to highlight the accomplishments of their homeland security program within this section.

## A. Accomplishments



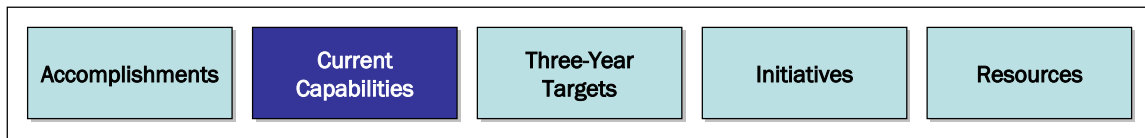
The optional Accomplishments section provides background information on the State's efforts related to the Priority emphasizing accomplishments between October 1, 2006 and September 30, 2007. States have the option to provide additional information on accomplishments from October 1, 2003 to September 30, 2006, if desired.

States have the flexibility to determine the content, length, and format of the Accomplishments section. "Things to Consider" for the Accomplishments section are provided below.

Accomplishments – Things to Consider
<ul style="list-style-type: none"><li>• Overall methodologies, approaches, or policies supporting the National or State Priority</li><li>• Specific governance structures</li><li>• Descriptions of the relative importance of the Priority, as compared to other National and State Priorities</li><li>• Narrative descriptions of accomplishments that have positively impacted preparedness related to the National Priority</li></ul>

It is estimated that the length of the Accomplishments section will be between one to two pages.

## B. Current Capabilities



This section describes the current level of capability available to prevent, protect, respond, or recover from large-scale incidents. This section of the report should contain an informed and accurate narrative illustration of current levels of capability. States are encouraged to reference any current and relevant information generated from previous assessment type efforts such as, but not limited, the documents listed below:

A **capability** is defined as a combination of resources that helps a State to achieve a measurable outcome by performing one or more critical tasks under specified conditions and using performance standards

- Program and Capability Review (2005-2006)
- Nationwide Plans Review (NPR)
- Tactical Interoperable Communications Plans (TICP) Scorecard
- Homeland Security Grant Program Monitoring Reports
- State Homeland Security Assessment and Strategy (SHSAS) process

As the actual ability of a State to provide a capability is dependent on specific hazards and other factors, States must assume a certain level of uncertainty when assessing their capabilities. For each Priority, the State should report on the level of capability as of September 30, 2007.

States should use and may supplement relevant metrics from the TCL when describing current capabilities.

Capabilities are aligned to National Priorities 4-8. As National Priorities 1-3 do not have associated capabilities, States must report on “other factors” that address those Priorities. The associated capabilities and other factors for each National Priority are listed in the table below:

**Figure 2: National Priorities**

<b>National Priority</b>	<b>Capability or Other Factor</b>
Implement the NIMS and NRF	<ul style="list-style-type: none"><li>• National Incident Management System (NIMS)/NIMS Compliance Assistance Support Tool (NIMSCAST)</li></ul>
Enhanced Regional Collaboration	<ul style="list-style-type: none"><li>• Inter-State Regional Collaboration</li><li>• Intra-State Regional Collaboration</li></ul>
Implement the NIPP	<ul style="list-style-type: none"><li>• Critical Infrastructure Protection Program</li></ul>
Strengthen Information Sharing and Collaboration	<ul style="list-style-type: none"><li>• Intelligence and Information Sharing and Dissemination Capability</li><li>• Counter-Terror Investigations and Law Enforcement</li></ul>
Strengthen Interoperable and Operable Communications Capabilities	<ul style="list-style-type: none"><li>• Communications Capability</li><li>• Emergency Public Information and Warning</li></ul>
Strengthen CBRNE Detection, Response, and Decontamination	<ul style="list-style-type: none"><li>• CBRNE Detection Capability</li><li>• Explosive Device Response Operations Capability</li><li>• WMD/Hazardous Materials Response and Decontamination Capability</li></ul>
Strengthen Medical Surge and Mass Prophylaxis	<ul style="list-style-type: none"><li>• Mass Prophylaxis Capability</li><li>• Medical Surge Capability</li></ul>
Strengthen Planning and Citizen Preparedness Capabilities	<ul style="list-style-type: none"><li>• Planning Capability</li><li>• Citizen Evacuation and Shelter-in-Place Capability</li><li>• Mass Care (Sheltering, Feeding, and Related Services) Capability</li><li>• Community Preparedness and Participation Capability</li><li>• Continuity of Operations / Continuity of Government</li><li>• Critical Resource Logistics and Distribution Capability</li></ul>

DHS recognizes that capabilities from the TCL (as identified in the figure above) may not encompass all aspects of a State's all-hazards

approach to preparedness. If necessary, States are strongly encouraged to provide a description of additional factors representative of preparedness programs deemed essential to achieving the National or State Priority for the State.

In order to complete this section, States must reference Appendix E of this document. Appendix E provides both optional and required questions and prompts to be addressed for each capability and factor.

It is estimated that the length of the Current Capabilities section will be between one and two pages per capability or other factor.

### C. Three-Year Targets



This section identifies objectives that the State plans to achieve within the next three years. These Three-Year Targets should be statewide and inclusive of regional and local government concerns. These targets should build upon the current levels of capability and will be used to measure progress in future years. In this section, States should identify, describe, and categorize capability targets that are **SMART**:

Three-Year Targets are not end-state indicators for capabilities or Priorities, nor are they activities required to sustain current levels of capability – these targets should represent outcomes the State plans to achieve within the next three years

- **S**pecific
- **M**easurable
- **A**ttainable
- **R**elevant
- **T**ime-bound

States should provide targets for each capability and factor discussed in the Current Capabilities section. Each target should include a description, the projected completion year, and status as illustrated in the figure below:

**Figure 3: Template for Three-Year Targets**

Target Description	Projected Completion Year	Status
Three or four sentence description of the desired performance outcome.	This column will read '2010' for all targets developed for the first Investment Justification. In future years, this column will contain existing and new targets with different end dates.	In year one, all targets should be designated as "open."  In future years, the status column will track progress towards completion. Each "target" will be designated as "open" or "closed". Progress towards

		accomplishing “open” targets will be recorded in percentage terms.
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It is estimated that the length of the Three-Year Targets section will be between one to two pages per Priority.

## D. Initiatives



The Initiatives section describes how the State plans to meet the Three-Year Targets identified in the previous section. States should base this section on their most recent Enhancement Plan. Additional Initiatives should be included to capture new or emerging Priorities and to reflect all of the Three-Year Targets. As with the Initiatives in the Enhancement Plan, each Initiative should include a(n):

### Initiatives are...

- Programmatic in nature
- Aligned to State homeland security strategies
- Multi-year statewide efforts
- Supported by multiple funding sources
- Comprised of multiple investments implemented strategically over time

- **Initiative Description** – including how this Initiative addresses the targets outlined in the previous section and how the State will be more prepared as a result of implementing all the targets
- **Geographic Scope** – outlining the geographic scope of this Initiative<sup>1</sup>
- **Program Management** – describing what programs, policies, cooperative agreements and other processes are in place to help the State meet these targets

States will no longer need to create or submit an Enhancement Plan, as all Initiatives will now be included in the Investment Justification. It is estimated that the length of the Initiatives section will be between two to four pages per Priority.

<sup>1</sup> The term “Regional Construct” (as defined in the Enhancement Plan) has been replaced with the term “Geographic Scope” to account for varied geographies and governance structures



## E. Resources



The Resources section discusses both monetary and non-monetary resources the State has previously expended and will spend for each Priority. Specifically, within this section, States must address:

- Monetary and Non-Monetary resources expended in Fiscal Year (FY) 2007 (October 1, 2006 – September 30, 2007)
- An estimated amount of expenditures (monetary) required to attain the preparedness Priorities in future years (October 1, 2007 through September 30, 2010).

It is estimated that the Resources section will be two pages long for each Priority.

### Resources Expended in FY 2007

This section describes, in narrative form, the monetary and non-monetary resources that contributed to strengthening Priorities from October 1, 2006 – September 30, 2007.

#### Resources Expended in FY 2007—Things to Consider

- The term *monetary resources* comprises direct and indirect costs associated with a Priority to include, but not limited to; equipment purchases, vendor contracts, training, exercises, facilities management, human capital, and other relevant factors
- The narrative description must be as inclusive as possible of all Federal and State funding used for achieving each National or State Priority. (Note: For potential sources, see the list of grant programs in Appendix C). Urban Area and other local input should also be included to the extent possible
- Federal assistance is *not* required to be broken out by grant source
- The narrative description of resources expended should, at minimum, describe the inclusion of funding sources, any double counting of funds,

### Resources Expended in FY 2007—Things to Consider

and departures from timeframes, if applicable

- Monetary resources spent prior to October 1, 2006, may also be reported; States have the option to provide all monies expended from October 1, 2003, to September 30, 2006, if this would be valuable
- DHS recognizes not all State fiscal cycles align to the Federal fiscal cycle. To the extent possible, illustrate expenditures within the dates outlined and provide an explanation of any departures from this guidance

**Non-Monetary Resources** may be, but are not limited to, the following:

- Federal program support (e.g., Training, Technical Assistance, Top Officials Exercise (TOPOFF), other large Federally or independently conducted exercise)
- In-kind resources
- Non-governmental support (e.g., donations, citizen volunteers, civic organizations)

### Future Resources Required

For each Priority, provide an aggregate estimate dollar figure required to achieve the increased levels of preparedness over the next three years<sup>2</sup>, October 1, 2007 through September 30, 2010. When calculating this estimated dollar figure, consider the resources required to sustain current levels of capability, the three-year targets, and all applicable Initiatives intended to achieve the targets.

### Future Resources Required—Things to Consider

- The aggregate estimate dollar figure should include all Federal, State, Urban Area and local funds contributing to increased preparedness (see Appendix C for examples). States are encouraged to reference the HSGP Guidance<sup>3</sup> and historical (baseline) budget information when projecting future funding needs to ensure estimates are reasonable
- Provide an approximate percentage of each Priority's aggregate dollar

<sup>2</sup> National Priority 1 – Implement the NIMS and NRF – requires that forecasts be made only a year in advance

<sup>3</sup> For planning purposes, applicants should consider, as an example, the future funding planning process as described in the FY 2007 HSGP Guidance for States, Territories, and Urban Areas

### **Future Resources Required—Things to Consider**

estimate, relative to the State's overall homeland security operating budget. Regardless of whether a State has chosen to create additional Priorities, the sum total of all percentages should be 100% of the State's homeland security operating budget

- Please note that these are three-year projected estimates within a report that is required to be updated annually. As such, these three-year projections should be considered an illustrative element of strategic vision and direction and should not be considered precise figures used for funding requests

## SUMMARY

In summary, the Investment Justification will contain four sections: Executive Summary, State Overview, Compliance, and Priorities. Each section provides States with an opportunity to highlight different elements of their statewide preparedness program:

- The **Executive Summary** provides an overview of the main sections of the Investment Justification
- The **State Overview** provides a background on the State and a summary of the process the State used to collect feedback from stakeholders when developing the document
- The **Compliance** section assesses the State's compliance with the national preparedness system, NIMS, NRF, and other related plans and strategies
- The **Priorities** section reports on the State's accomplishments, assesses the State's capabilities, provides three-year targets for capabilities, identifies Initiatives, and discusses monetary and non-monetary resources

States should reference the appendices of this guidance document when writing the Investment Justification for definitions, acronyms, items to address during the current capabilities, and other relevant information. States are encouraged to reach out to their Preparedness Officers with any questions as they are developing their Investment Justification.

Once complete, the Investment Justification will be the primary report for providing strategic-level information about a State's all-hazards preparedness programs and current levels of preparedness to State, Congress, and other Federal audiences.

